

**CHECKLIST FOR HEALTH CARE SERVICE PLANS
NEW LICENSE APPLICATIONS
MEDICARE ADVANTAGE ONLY**



General Filing Information:

- ❑ Exhibits required to be filed: A - D (Execution Page), E, F, G, J-1, J-3, J-8 (Anti-Fraud Plan), K-3, L, M, N, O, X, Y, AA, BB, CC, EE, FF, GG, HH, and II.
- ❑ Complete the Financial Projections Data Source Checklist if there is not an actuarial report submitted supporting the financial projections.
- ❑ Applicant should request a prefiling conference with DMHC (licensing counsel and financial examiner) to discuss the application prior to filing.
- ❑ Centers for Medicare & Medicaid Services (CMS) requires a State Certification Form to be signed by DMHC: The top half of State Certification must be filled out by Plan and e-mailed to DMHC licensing counsel.
- ❑ An undertaking to the license will be required that the Applicant Plan will submit to DMHC, for informational purposes, the same information that is submitted to CMS in the Medicare Advantage application, subsequent to award of the CMS contract.
- ❑ License approvals require an average time of four to six months. A complete, careful, and thorough initial application will limit delays. Please take this review time into account when considering application deadlines for CMS. The DMHC cannot guarantee licensure by a particular date.

For each Exhibit:

- ❑ Include page numbers on all exhibits.
- ❑ Review all proposed revisions prior to filing them to avoid errors.
- ❑ File a complete, clean, final copy of the entire exhibit with all revisions agreed to with the Department in the last amendment filing prior to closure.

Include in Exhibit E:

- ❑ Check that all page numbers referenced correspond to the printed page numbers in each exhibit as filed.
- ❑ Bold face caps, if (i) expedited review is requested, (ii) the deadline requested, and (iii) the basis for the request.

- ❑ For an amendment filing, a brief description of each revision, the title, section number and page number where each revision is redlined within each exhibit.
- ❑ If the amendment filing is more than one exhibit, state each revision that is exactly the same in both documents.
- ❑ Include any Department comments, narrative responses, page numbers and titles/sections where each revision is redlined.
- ❑ Include additional revisions marked “Additional Revisions”.
- ❑ Include the name and telephone number of Plan contact, knowledgeable about the details of the filings.
- ❑ For revisions on more than one product type, list the changes that are the same in both exhibits.

Exhibit J-8:

- ❑ This antifraud plan and report must be filed annually with the Department.

File For Exhibit K:

- ❑ Exhibit K-3 – Include compensation.

File for Exhibit N:

- ❑ Include a copy of the entire Plan-to-Plan contract or administrative services agreement.

For questions concerning this checklist, please contact Christina Hooke at (916) 323-9605 or chooke@dmhc.ca.gov.